

MONTANA DEPARTMENT OF JUSTICE
Business Practices Analysis
Criminal History Data



Phase III Report
Subcommittee Reports

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NORTHROP GRUMMAN
Mission Systems

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1 EXECUTIVE SUMMARY

1.1 Introduction

This document represents the Phase III report for the Business Practices Analysis (“Analysis”) portion of the Montana Department of Justice Local Pilot Project (“Project”). The Analysis evaluated the flow of criminal justice information at the local and state levels, focusing primarily on data that is reported to the state’s criminal history repository. The goal of the Analysis was to support the integrated justice efforts of the Montana Department of Justice (MTDOJ), with the ultimate goal of improving information sharing within the criminal justice community. Management and oversight was provided by the Montana Criminal Justice Information Services Project (MCJISP).

The Analysis was conducted in three phases. Phase I reviewed the flow of criminal justice information in two counties, starting with the movement of data between local agencies and following that data as it is passed on to the state. Phase II consisted of a planning resource document developed to support ongoing integration efforts. Phase III documented the efforts of two subcommittees that worked with the MCJISP to develop recommendations for improvements and standards related to criminal justice information sharing.

This report on Phase III of the Analysis consists of the following sections:

Section 1: Executive Summary

Section 2: Appointment of the Subcommittees (background on the events that led to the appointment of the subcommittees and a description of the subcommittee membership)

Section 3: Best Practices Subcommittee (description of the subcommittees work, recommendations, and suggested next steps)

Section 4: Standards Subcommittee (description of the subcommittees work, recommendations, and suggested next steps)

Appendices: The appendices include meeting minutes, research documents, data elements survey materials and data dictionary comparisons.



1.2 Summary

In February 2002, two subcommittees of the MCJISP's Advisory Group met for the first time to begin work on the development of best practices and standards for the enhancement of information sharing in the criminal justice community. The membership of the Best Practices Subcommittee and the Standards Subcommittee included representatives of local and state criminal justice agencies as well as information technology specialists. The MCJISP Manager provided facilitation for the subcommittees' work.

The two subcommittees met several times between February and November of 2002. During this eight-month period, the two groups produced the following products and recommendations:

- Workflow diagrams depicting the ideal flow of data throughout the criminal history cycle until its eventual storage in state and local applications/databases
- Standardized data elements for data exchange
- Security and network standards
- Recommendations for:
 - ◆ A uniform Notice to Appear/Summons and Complaint to be adopted for state-wide use
 - ◆ A Best Practices manual to be created for use by Criminal justice agencies to improve the collection and exchange of data
 - ◆ An electronic MANS sheet to be created to enhance the flow of criminal history agency at the local level and from the local to the state level
 - ◆ General improvements in the initiation and exchange of data that will improve current processing of criminal justice information
- Recommendations for future activities including additional analysis and the development of more specific improvements in information sharing.

In addition to forwarding these products and recommendations to the Advisory Group, the subcommittees also recommended that the specific work products be available on the web for wider review and comment. Since both groups identified future activities and research needs that will be required to complete their objectives, this report should be viewed as an interim report on the subcommittees' progress.

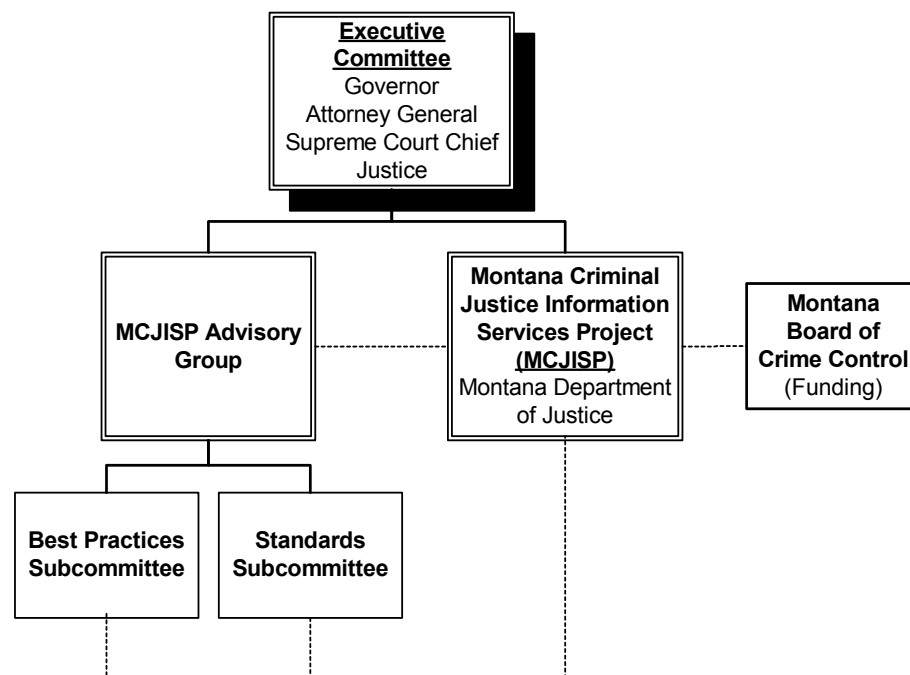


2 APPOINTMENT OF THE SUBCOMMITTEES

2.1 Organizational Background

Phase III of the Analysis and the work of the two subcommittees was conducted with a statewide framework for integrated justice Planning. The Montana Criminal Justice Information Services Project (MCJISP) provided staff support and facilitation for the subcommittee effort. The MCJISP is an Integrated Justice initiative housed in the Montana Department of Justice (MTDOJ) and funded through the Montana Board of Crime Control (BOCC). The Manager of the MCJISP is Mr. Wilbur Rehmann.

The Governor, Attorney General, and Chief Justice of the Supreme Court (Executive Committee) provided executive sponsorship of the MCJISP. Policy input and guidance to both the MCJISP and the Executive Committee is provided by the MCJISP Advisory Group, which is made up of representatives from both state and local criminal justice (Appendix E contains the current Advisory Group membership). The Best Practices Subcommittee and the Standards Subcommittee – whose work is described in this report – are subcommittees of the Advisory Group.



MCJISP Organization Chart



2.2 Project Background and Creation of the Subcommittees

The Business Practices Analysis is part of the MCJISP's Local Pilot Project initiated in 2001. The Project was awarded a \$103,000 grant¹ by the BOCC to undertake the following objectives:

- Evaluate the needs of local and state agencies that use criminal history and other criminal justice information systems
- Explore the best methods for collecting, sorting and disseminating this information through an integrated/coordinated approach
- Develop cost effective and workable responses to user demands and to legislative mandates

Two counties were selected to participate in the Project: Glacier County, representing rural counties; and Lewis & Clark County, representing urban counties. The first step in the Project was an evaluation of the participant counties' connection to the state criminal justice network (CJIN).

Significant improvements were made in the technical environment in Glacier County so that the county could more fully participate in the network in a secure manner. In Lewis & Clark County, software was installed to allow electronic submissions of dispositions directly to the state's criminal history system maintained by MTDOJ's Criminal Justice Information Services Bureau. In addition, the Lewis & Clark County Attorney's office was provided with CJIN access so that critical information could be accessed directly and to lay a foundation for direct entry of prosecutor data in the state's systems.

The Analysis followed up on these initial efforts with a review of current issues and activities related to the flow of criminal justice information at the local and state levels, focusing primarily but not exclusively on data that is reported to the state's central repository for criminal history. The Analysis was conducted in three phases:

- Phase I: This stage of the project reviewed current issues and activities related to the flow of criminal justice information at the local and state levels, focusing on data that is reported to the state's central repository. Interviews of local criminal justice agencies were conducted in Lewis & Clark County and Glacier County to obtain information on:
 - ◆ Events that trigger the exchange of criminal history information (Arrest/Fingerprint Data; Charges; Dispositions)
 - ◆ Agencies involved in the exchanges

¹ Funding for the Project came from the State and Local Assistance Division of the Bureau of Justice Assistance, part of the Office of Justice Programs in the US Department of Justice. Grant approval and monitoring is provided by the BOCC.



- ◆ The nature and content of the information exchanged
 - ◆ Business practices governing the exchange the information
- Phase II: During Phase II, a report was developed as a planning resource document to support ongoing integration efforts. Technical options for addressing these problems identified in Phase I and recommendations for further analysis were included in this report. One of the recommendations of the analysis was to develop standards for the exchange of criminal history data.
 - Phase III: Phase III consisted of work conducted by two subcommittees – the Best Practices Subcommittee and the Standards Subcommittee – created in response to the Phase II recommendation. These subcommittees were charged with the responsibility with making recommendations to the MCJIPS Advisory Group on the improvement of information sharing among criminal justice agencies at both the state and local levels. These recommendations were to be made to the MCJISP Advisory Group in January 2003.

2.3 Subcommittee Membership

The MCJISP determined that the subcommittee membership should consist of a cross-section of criminal justice agencies at both the local and state level. Accordingly, the subcommittee appointments included representatives from law enforcement, prosecutors, courts, state repositories, corrections, and social services. Key information technology staff associated with these agencies was also included. Staffing to both the subcommittees and the Advisory Group was provided the MCJISP Manager.

The membership of the subcommittees is shown on the following tables:



Best Practices Subcommittee Membership	
Name	Agency
Ron Alsbury	Probation and Parole Bureau, Department of Corrections
Diane Anderson	District Court Clerk, Glacier County
Beverley Boyd	Supreme Court
Shelly Callihan	Lewis & Clark County District Court
Dana Corson	Supreme Court Administrator's Office
Stacye Dorrington	Criminal Justice Information Services Bureau, Department of Justice
Karen Duncan	Juvenile Division, Department of Correction
Larry Epstein	Glacier County Attorney
Shelly Gleich	Lewis & Clark County Attorney's Office
Walt Joyce	Criminal Justice Information Services Bureau, Department of Justice
Duane Larson	Helena Police Department
Colleen Llewellyn	Child and Adult Protective Services, Department of Public Health and Human Services
Andrea Lower	Gallatin County Detention Center
Carol Nelson	Juvenile Division, Department of Corrections
Karen Nelson	Criminal Justice Information Services Bureau Chief, Department of Justice
Les Novell	Information Technology Bureau, Department of Corrections
Mike Raczkowski	Information Technology Bureau, Department of Corrections
Nancy Sweeney	Lewis & Clark District Court Clerk
Mike Touchette	Probation and Parole Bureau, Department of Corrections
Jeff Walter	Board of Pardons



Standards Subcommittee Membership	
Name	Agency
Kerry Bickle	Gallatin County Sheriff's Office
Jim Cashell	Gallatin County Sheriff
Dan Chelini	Department of Corrections; Supreme Court
Bruce Coensgen	Information Technology Services Division, Department of Justice
Dana Corson	Supreme Court
Don Crabbe	Board of Crime Control
John Daugherty	Information Technology Bureau, Department of Corrections
Jim Dolezal	Information Technology Director, Missoula County
Dan Hawkins	Information Technology Services Division, Department of Justice
Carl Hotvedt	Information Technology Services Division, Department of Administration
Leo La Salle	Information Technology Bureau, Department of Corrections
Colleen Llewellyn	Child and Adult Protective Services, Department of Public Health and Human Services
Fred McCracken	Billings Police Department
Joe McKenney	Legislator, Great Falls
Art Pembroke	Information Technology and Services, Helena/Lewis and Clark County
Lynne Pizzini	Information Technology Services Division, Department of Administration
Kim Randall	Information Technology Services Division, Department of Justice
Steve Tesinsky	Information Technology Services Division Administrator, Department of Justice
Terry Wheeling	Information Technology Services Division, Department of Justice
Scott Wyckman	Justice of the Peace, Gallatin County



3 BEST PRACTICES SUBCOMMITTEE

3.1 Goals

The main goal set for the Best Practices Subcommittee was to develop recommendations for the integration of criminal justice information for the courts, local, state and federal agencies. The subcommittee was also charged with examining how information is currently compiled and exchanged, how this effort could be accomplished more efficiently electronically, and what improvements could be made in the near-term to the current paper-based process.

3.2 Meetings

The subcommittee began meeting in February 2002. The dates of the subcommittee's meetings are shown on the following table:

Best Practices Subcommittee Meeting Dates
February 20, 2002
April 8, 2002
June 11, 2002
August 8, 2002
September 11, 2002
October 24, 2002

3.3 Inputs to the Process

At the outset of the subcommittee's work, the members reviewed some of the efforts in other jurisdictions to improve data exchange. This included a number of web sites describing both national and state efforts, such as:

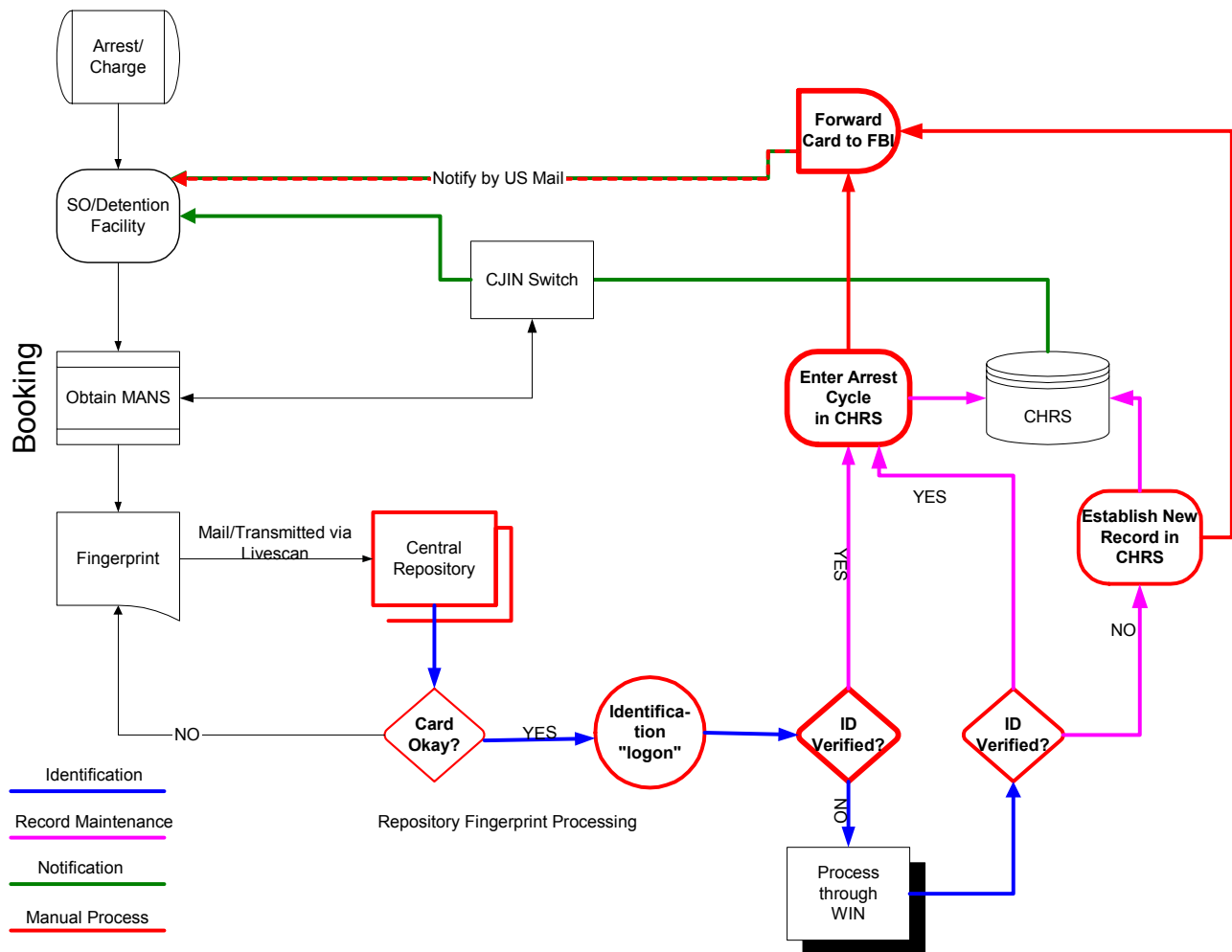
- Office of Justice Programs (OJP) web page on Information Technology Initiatives (www.it.ojp.gov/index.html)
- Global Justice Information Network (Global) web page (<http://www.it.ojp.gov/global.index.html>)
- SEARCH, the National Consortium for Justice Information and Statistics web page (www.search.org)
- National Governors Association Center for Best Practices, specifically eGovernment and Justice Information Technology web pages (www.nga.org and http://www.nga.org/center/topics/1,1188,D_2462,00.html)



Although many states have established standards for data types and data transmission, there are fewer examples of business practices developed on a statewide basis with the intention of improving data exchange. However, the Subcommittee was impressed with the New York Standard Practices Manual, an initiative that was part of a larger Criminal Justice Information System (CJIS) effort during the 1990's. The New York manual detailed procedures to be used at each stage of the criminal history cycle.

After reviewing this example, the subcommittee decided to break down into subgroups to work on the following functional areas: Arrest Processing; Prosecution/Judicial; and Custody/Supervision. The objective was to develop best practices in each of these areas. Working in both subgroups and as a full committee, the subcommittee members developed "ideal" workflows for the exchange of critical criminal justice data in these functional areas.

To assist the subcommittee in this effort, the MTDOJ CJIS Bureau presented an overview diagram of the fingerprint submission workflow. The group used the diagram to start the discussion of criminal justice data processing and to identify the points along that process when fingerprint data was generated or exchanged. Because this information was an important input to the subcommittee's work, it has been included in this document (see illustration on the following page).



Criminal Fingerprint Processing Workflow
(Submitted to the Best Practices Subcommittee by MTDOJ CJIS Bureau)

3.4 Products

The Best Practices Subcommittee work products were completed in October of 2002. The subcommittee developed recommended workflows for the exchange of data at specific events and times (or “functional areas”) in the criminal justice process. These workflows are high-level overviews showing the creation and exchange of data from arrest through adjudication to custody and supervision. The workflows do not depict all possible steps in the criminal justice process (for example, there is no workflow shown for adjudication in City and Justice Courts²). However,

² No workflow was developed for adjudication in the Courts of Limited Jurisdiction because the subcommittee did not have representation from those courts.



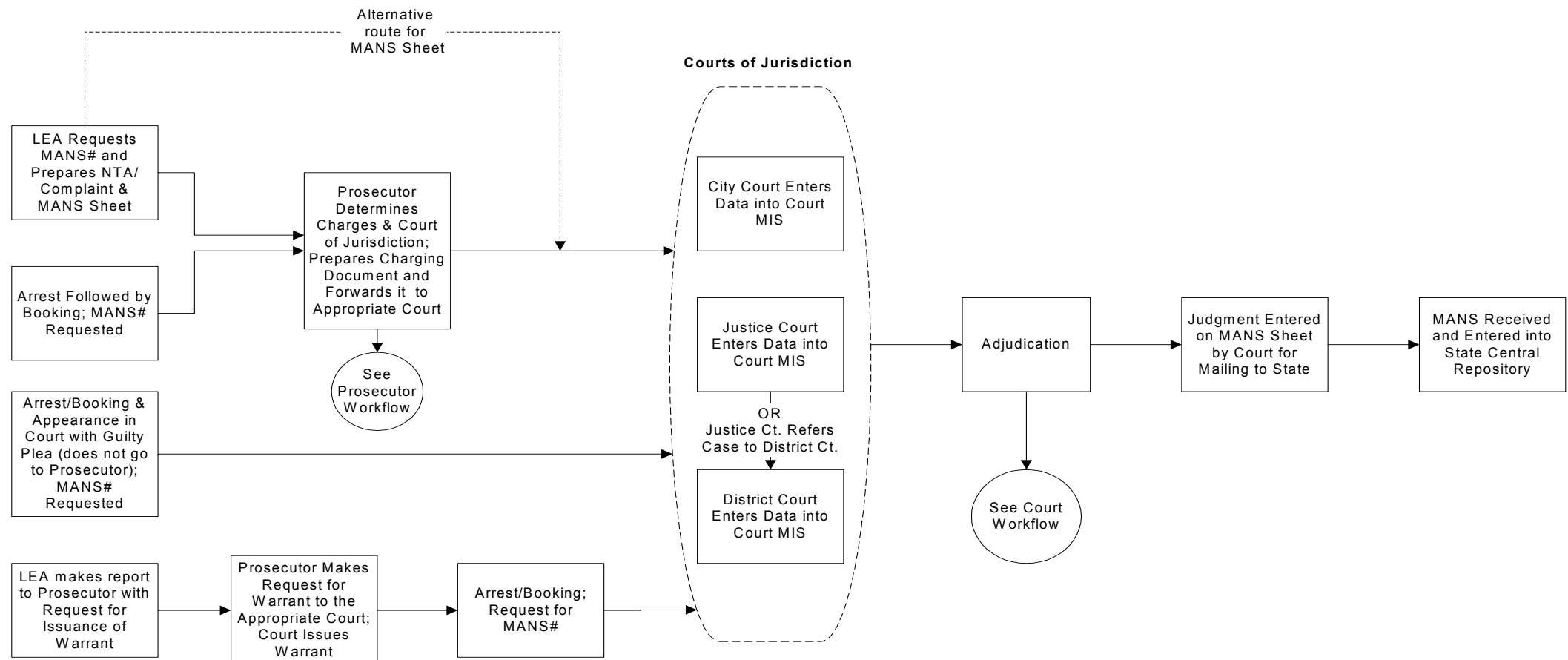
the workflows do represent a high-level, “ideal” framework for the sharing of data among local criminal justice agencies and for the forwarding of that data to state repositories maintained by MTDOJ, the Department of Corrections, and the Supreme Court.

3.4.1 Arrest Data Workflow

Figure 1 represents the entry points into the criminal history cycle and includes the assignment of the MANS number to an arrest event. The diagram identifies the types of events that can begin this process and follows the movement of the data at a very high level to the state repository at the Criminal Justice Information Services (CJIS) Bureau in MTDOJ. Obtaining the MANS number, a unique identifier that will provide the link for events in the arrest cycle, is critical to this processing flow, and the diagram shows the incidents that should result in a request for this number. The diagram also indicates where the prosecutor and court processes enter into this overview.



Figure 1: Data Workflow for Arrest Functional Area



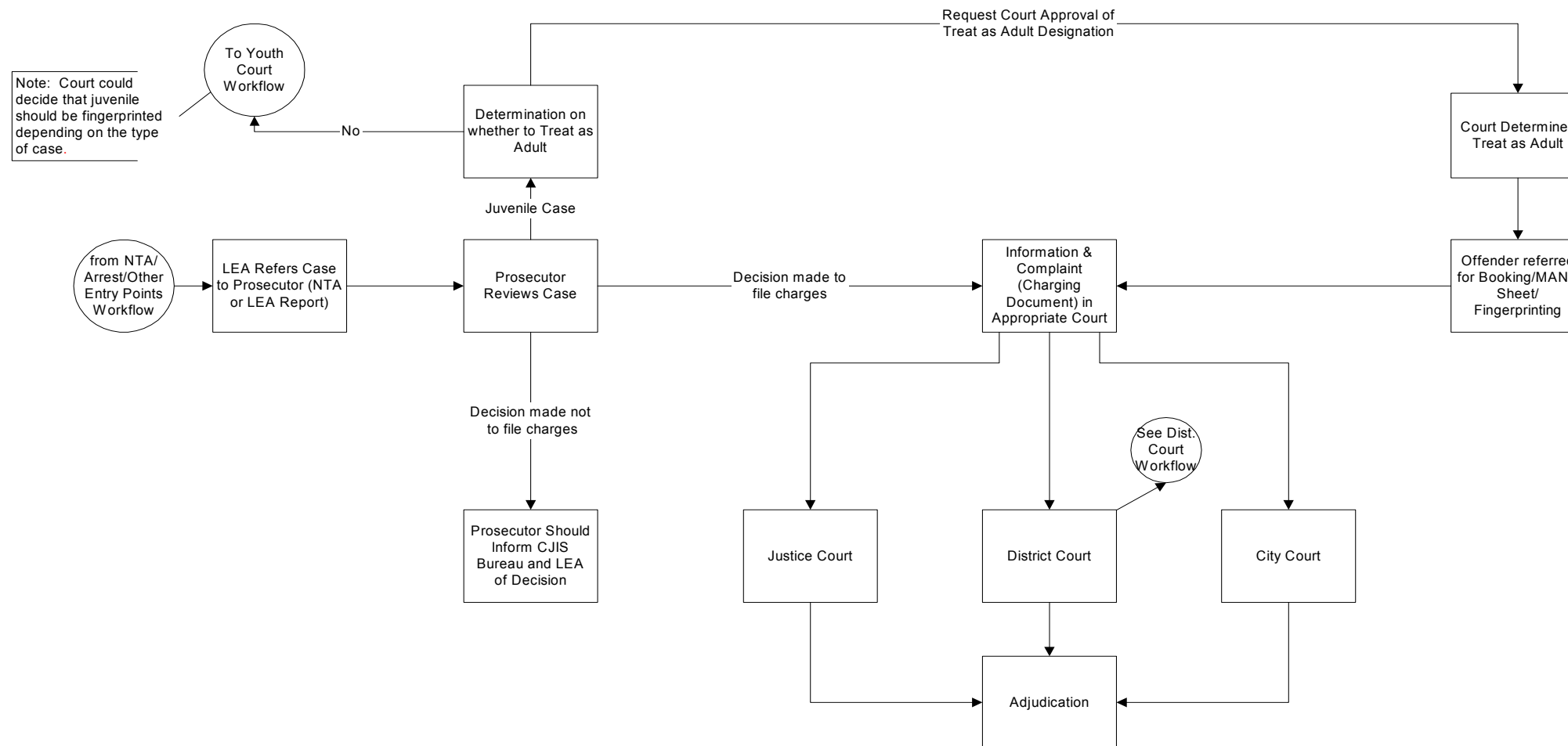


3.4.2 Prosecution Data Workflow

Figure 2 represents key events in the prosecution workflow and the points at which critical data should be exchanged. The subcommittee had determined that a significant information gap occurs when prosecutors do not report arrest charges that are not filed, and the diagram illustrates the prosecutor's responsibility to report that information directly to the state repository at the CJIS Bureau. For charges that are filed, the diagram shows the "hand-off" of data to the courts.



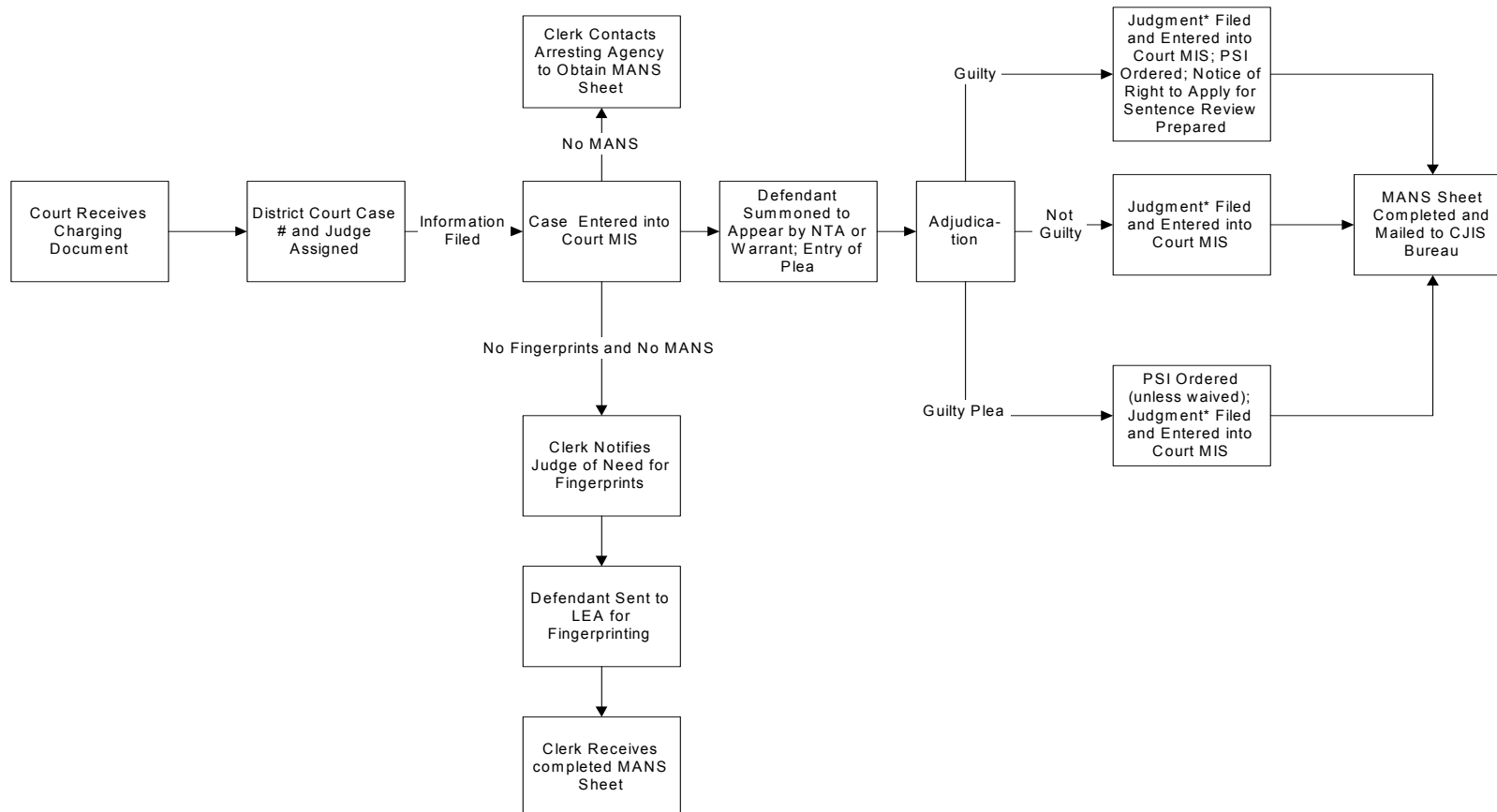
Figure 2: Data Workflow Prosecution Functional Area





3.4.3 Adjudication Data Workflow (District Court)

Figure 3 shows court processing events from the time a court receives charging documents through sentencing. Key points of data exchange are indicated, including the determination of whether an offender's fingerprints have been taken prior to appearance in court. Data flow to the court information systems as well as to the CJIS Bureau's repository are also illustrated.

**Figure 3: Data Workflow Adjudication Functional Area**

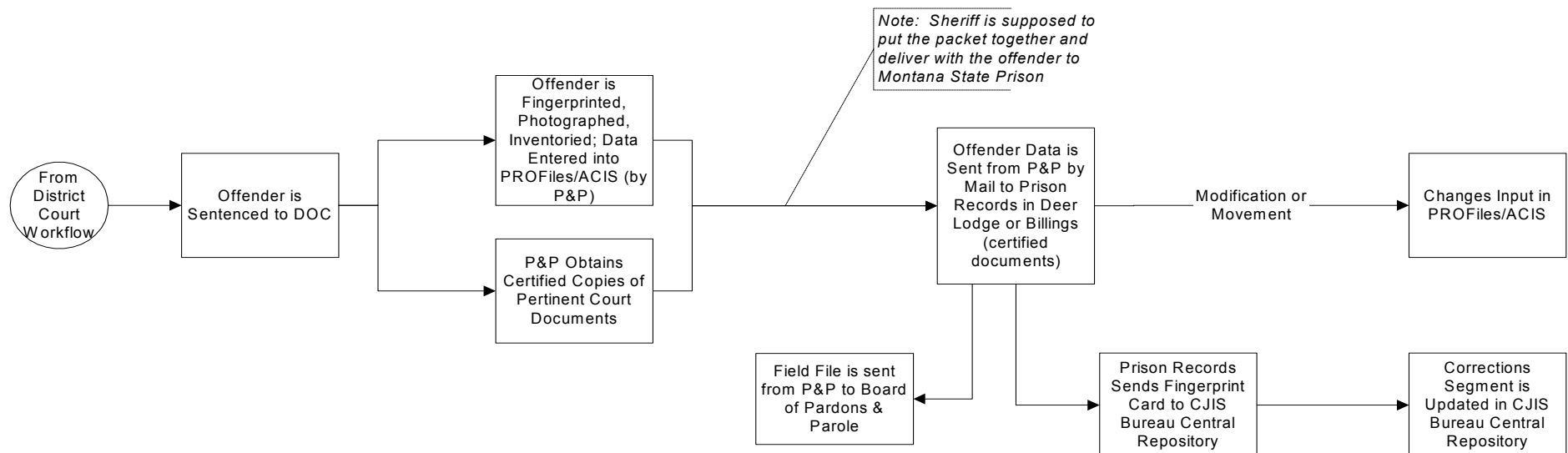
* Judgment prepared by County Attorney

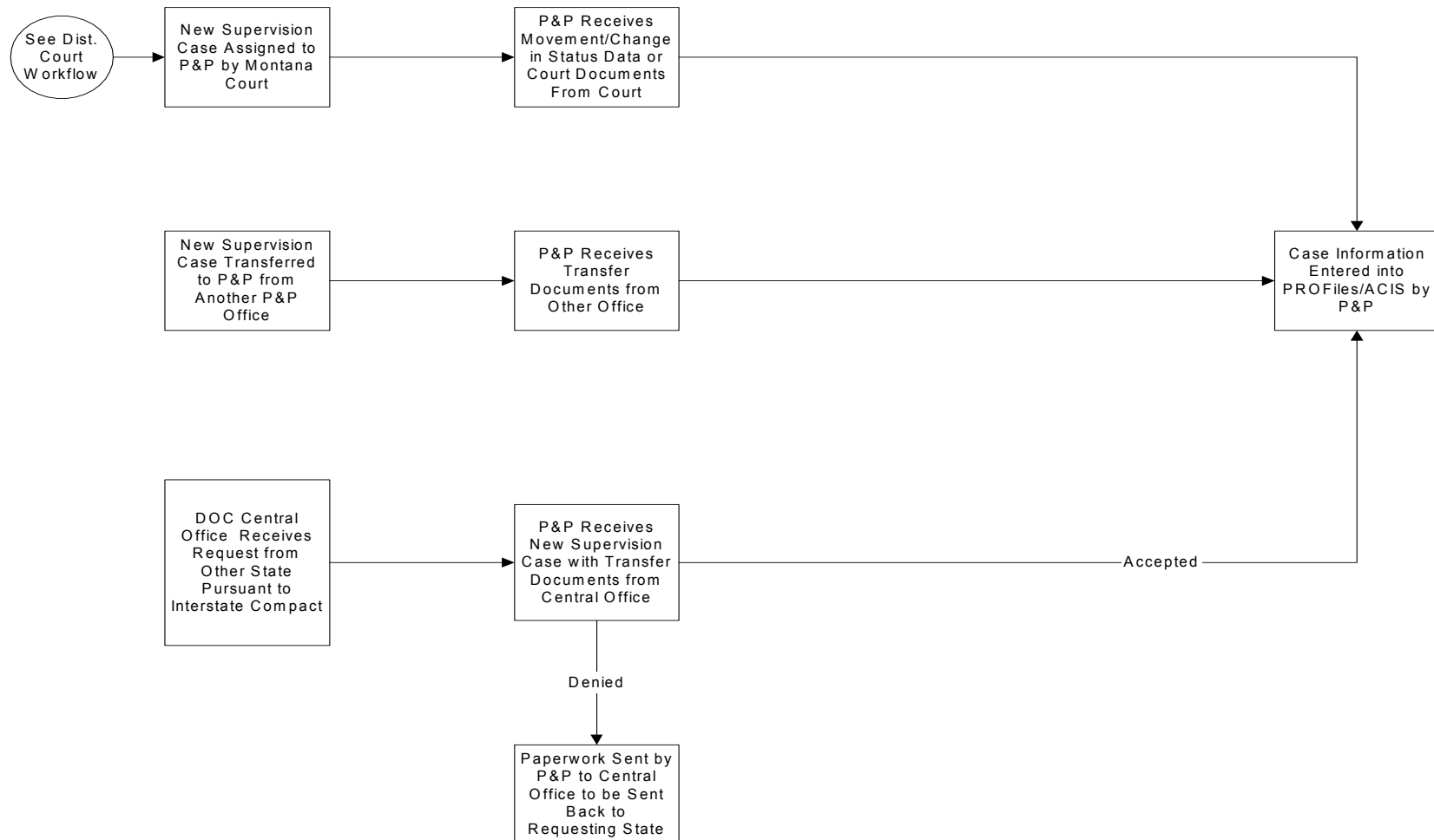


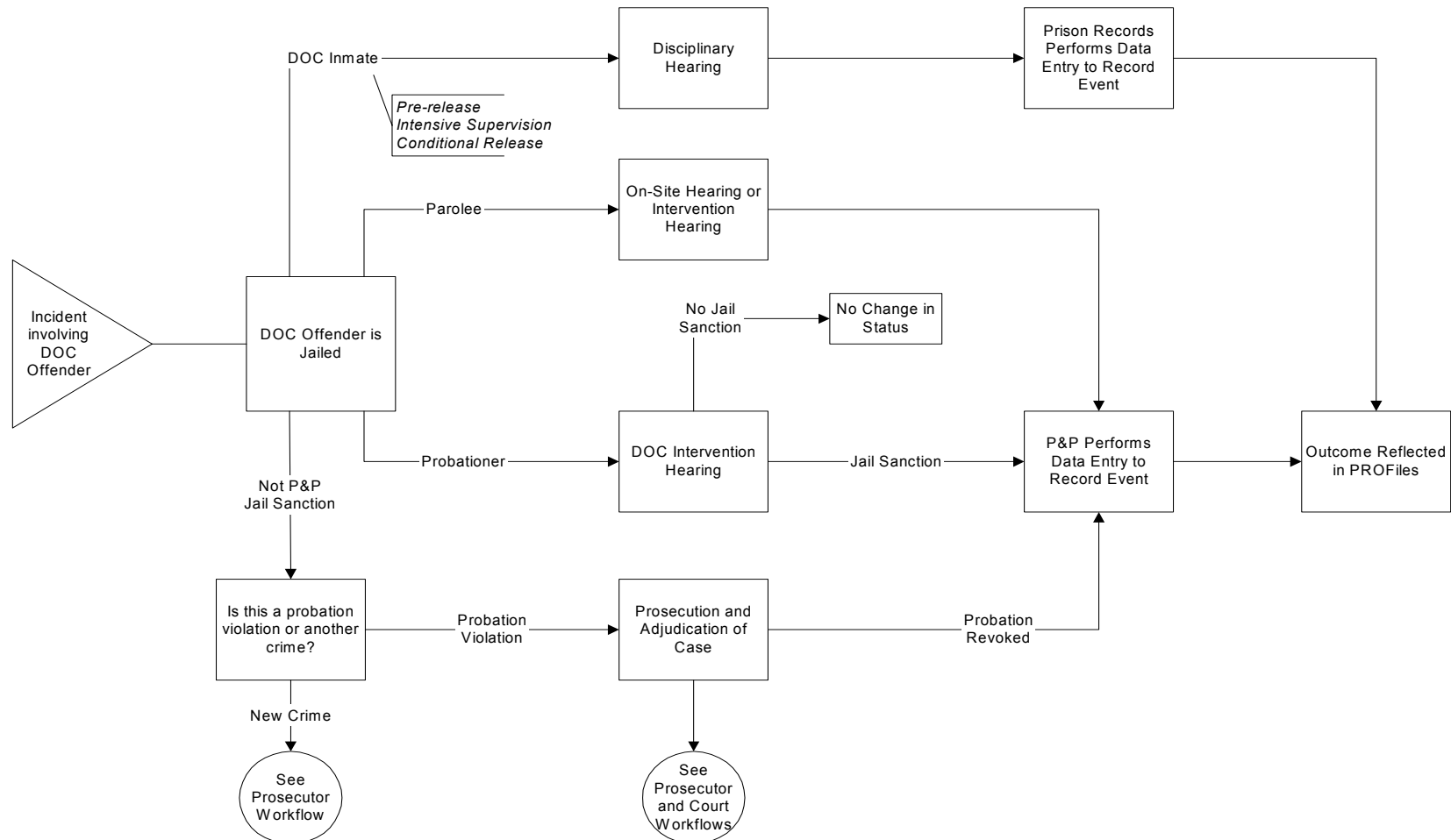
3.4.4 Custody and Supervision Data Workflows

Figures 4a, 4b, and 4c represent the workflow involving the custody and supervision of offenders. Significant events and the data that should be compiled and exchanged during these events are identified in each diagram based on the type of offender and the sentence requirements:

- Figure 4a depicts events involving an offender who is entering DOC custody for the first time and who will be incarcerated. The critical data on the offender is collected for input in both the DOC and MTDOJ central repositories.
- Figure 4b depicts the processing of offenders assigned to Probation and Parole: offenders who are assigned to Probation and Parole for supervision; offenders who are referred from one Probation and Parole office to another; or offenders who were convicted out-of-state and have been accepted for incarceration or supervision in Montana pursuant to an interstate compact.
- Figure 4c represents the events and data exchanges that should occur when an offender under the custody or supervision of DOC is involved in a new offense. This new offense could be related to probation or parole conditions or could be an entirely new crime. The subcommittee identified these specific events as significant information gaps about subsequent actions by known offenders, and the workflow was created to clarify when and to whom key data should be exchanged.

**Figure 4a: Data Workflow Custody/Supervision Functional Area: New Inmate Incarceration**

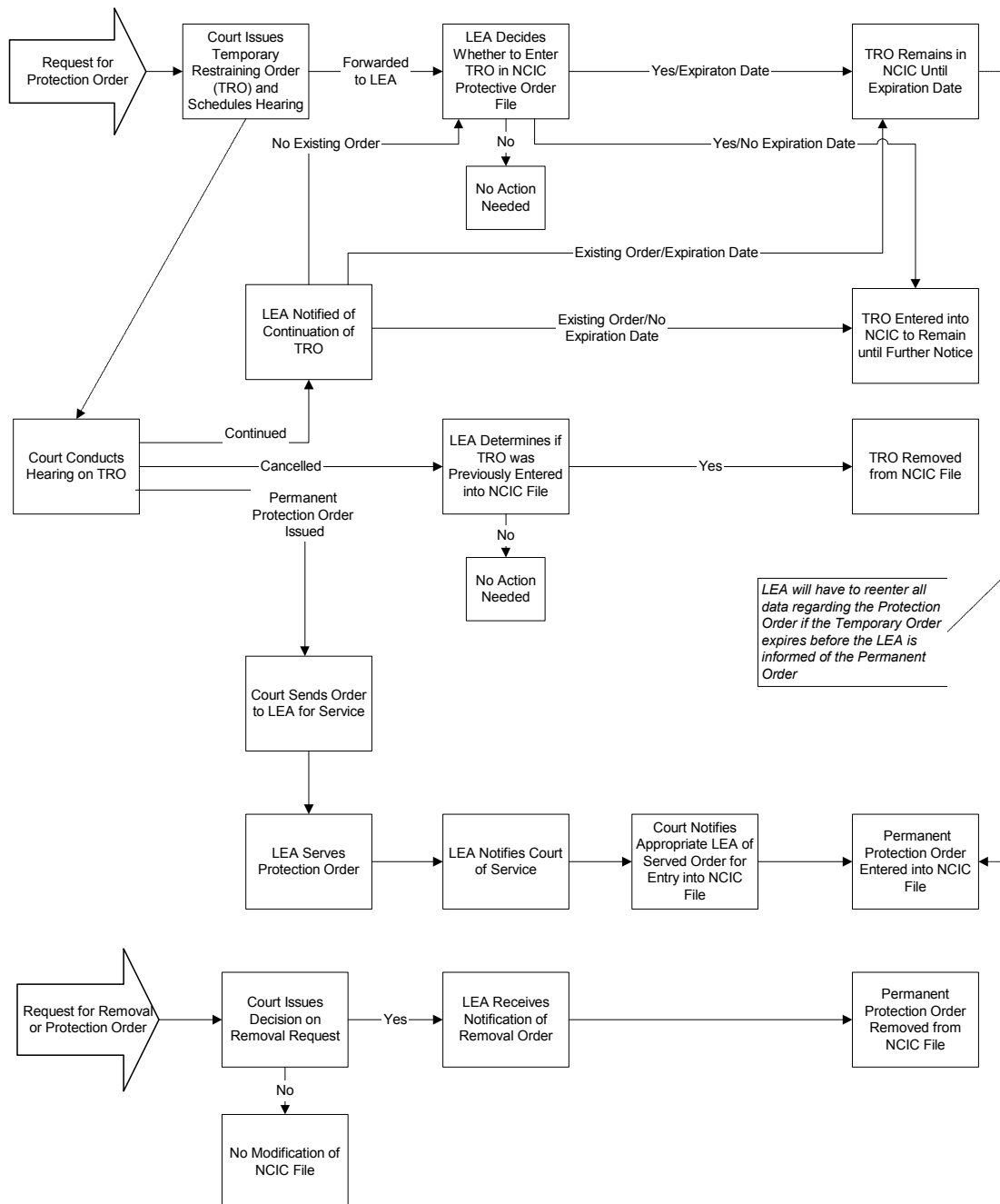
**Figure 4b: Data Workflow Custody/Supervision: Probation and Parole Supervision**

**Figure 4c: Data Workflow Custody/Supervision Functional Area: Jail Event**



3.4.5 Protection Orders Data Workflow

The subcommittee determined that misunderstandings about the new statutory requirements for protection orders might result in reporting errors and information gaps. Because the requirements are relatively new and not widely understood in the criminal justice community, assistance in preparing this diagram was requested from the CJIS Bureau staff in MTDOJ. Figure 4 shows the steps leading to the input of protection orders into the NCIC Protection Order File and the events that must take place to ensure input has occurred correctly.

**Figure 5: Data Workflow Protection Orders**



3.5 Recommendations

The Best Practices subcommittee made several recommendations that address specific problems in the current flow of information at the local level, as well as recommendations for statewide actions intended to improve the overall flow of information in the future. The District Court representative on the subcommittee has already presented one of these recommendations – adoption of a standard format for court docket numbers – to the Court Clerks Association.

General Recommendations: The subcommittee’s recommendations related to the initiation of the exchange of criminal history data, as revised with input from MTDOJ, are summarized below:

1. Prosecutors should receive automatic notification of arrests, related charges, and schedules for initial appearances.
2. Law enforcement should check probation/parole status for all arrests and notify Probation/Parole of all arrests for individuals under DOC supervision.
3. A plan for electronic disposition reporting should be drafted. One step toward such a system could be the development of a web-based MANS sheet with both data entry and “push” capability. The plan should include a web-based operations manual for booking units that is updatable and searchable.
4. DOJ should re-activate the ad hoc juvenile justice group to review the collection, maintenance and dissemination of juvenile records. The Ad Hoc group should include representatives of the DOJ, DPHHS, DOC, Courts, Legislative Services and Board of Crime Control. Some of the issues that need to be addressed by this group are:
 - Review procedures for the handling of juvenile booking, including possibly requiring the transfer of juveniles to booking after a decision has been made to treat the defendant as an adult; booking units should be informed that juveniles are fingerprinted in certain cases so that juveniles are not routinely turned away.
 - An alternative approach to ensuring that these juveniles are booked would be for the court to issue an order to the defendant to go to booking, and to require the jail to do a return to the court to verify booking. As part of this option, a standard order format would be proposed for adoption by judges. The same form could be used for adults that are ordered to be booked along with the return sent by booking to the court.
5. The DOJ, DOC, Board of Crime Control should review the establishment of an electronic jail/detention log, which would provide a statewide roster of offenders under incarceration. This log could be



on-line to allow any law enforcement agency in the state to establish if some one is incarcerated anywhere in the state.

6. Prosecutors should be encouraged to get involved in the process of disposition reporting and to comply with statutory requirements for reporting.
7. Training manuals and materials for the Court Administrators office, DOJ-CJIS, and Clerks should be reviewed for errors and omissions. For instance, procedures for deferred prosecution and deferred sentencing and post-conviction relief in the Court Clerks training materials need to be reviewed. Ideally, deferrals should be reported on the MANS sheet at the time of the deferral, followed up with a report on any dismissals. The results of any appeal and post-conviction relief should also be reported. Until an electronic system is available, a copy of the original MANS sheet should be used with an indication of changes to the previous report.

District Court Recommendations: Recommendations related to the flow of data at the District Court level were as follows:

1. The recommended format for docket numbers should be adopted by the courts to ensure consistency and linkage.
2. The subcommittee reconfirmed that, in most circumstances, the primary obligation to obtain fingerprints resides with law enforcement.
3. Further discussion is needed with the Clerks of Court to determine the best method to identify all cases where booking is required but has not occurred.
4. Court Clerks should be encouraged to report all felony convictions to Probation/Parole immediately upon sentencing.

Department of Corrections Recommendations: Recommendations related to data compiled by DOC included:

1. The court docket number should be included on fingerprint cards submitted by DOC. The recommended standard docket format should be used.
2. DOC should fingerprint all out-of-state offenders under the department's supervision and/or incarceration and these prints should be sent to the MTDOJ AFIS for conducting future latent searches.
3. Private prisons operating in Montana should fingerprint all inmates and forward these prints to the MTDOJ CJIS Bureau.
4. Recommend that a "Wanted" check be conducted prior to release of inmates from supervision by DOC.



3.6 Next Steps

The next steps recommended by the Best Practices Subcommittee were:

1. Representatives of criminal justice agencies involved in the exchange of criminal justice information should seek support and funding for preparation of a detailed Best Practices Manual, which would complete the process started by the development of the ideal data workflow diagrams.
2. A web-based, electronic version of the MANS sheet should be developed.
3. Further analysis should be done on the procedures for courts to require the transfer of juveniles to booking for fingerprinting.
4. New administrative rules should be developed by the MTDOJ regarding fingerprinting, MANS numbers, and criminal history data.
5. A presentation of the importance of having prosecutor involvement in the data exchange process should be made to the County Attorneys' annual conference.
6. Other presentations about the work of the subcommittee should be made to Montana Magistrates Association, Sheriffs and Peace Officers Association, Montana Association of Chiefs of Police, and the Association of District Court Clerks.



4 STANDARDS SUBCOMMITTEE

4.1 Goals

The goal of the Standards Subcommittee was to develop the standards that will be used for data exchange by various parts of the criminal justice community. It was envisioned at the outset that the work would lay the groundwork for a seamless Criminal Justice Information System. As the subcommittee began deliberating its tasks, it set additional objectives for developing both data standards and network/security standards and it created two workgroups for these specific areas.

4.2 Meetings

The Standards Subcommittee began meeting in February 2002. The meeting dates for the full committee, as well as the two workgroups, are shown on the table below:

Standards Subcommittee and Workgroup Meeting Dates	
Full Subcommittee	February 19, 2002
Full Subcommittee	April 9, 2002
Full Subcommittee	August 7, 2002
Data Standards Workgroup	August
Data Standards Workgroup	August
Network/Security Workgroup	September
Full Subcommittee	October 24, 2002
Full Subcommittee	November 21, 2002

4.3 Inputs

The subcommittee began work by reviewing existing and emerging standards for data exchange in Montana, other states, and nationally. The group reviewed several web sites similar to the ones reviewed by the Best Practices Subcommittee; other sites with relevant standards that were reviewed included:

- Montana's Information Technology standards web site (<http://www.state.mt.us/itsd/default.asp>)
- Global Home web page and the Global Justice Standards Registry, which included the XML Justice and Public Safety Data Dictionary and the Joint Task Force Standard Rap Sheet (<http://it.ojp.gov.jsr>)



- Legal XML web page (<http://www.legalxml.org/>)
- Kentucky Unified Criminal Justice Information Systems web page (<http://www.state.ky.us/agencies/ucjis/>)
- Kansas Bureau of Investigation web page, which included extensive data standards (www.kbi.state.ks.us/)
- Washington State Justice Information Network Standards web page (<http://www.wa.gov/dis/jin/JINstds.html>)
- New York State criminal justice data dictionary can be (<http://criminaljustice.state.ny.us/dict/dict.htm>)
- Oregon State Police CJIS web page, with a link to a data dictionary (www.osp.state.or.us/)
- North Carolina Criminal Justice Information Network web site, with a link to Data Sharing Standards (www.cjin.jus.state.nc.us)

The subcommittee also received background information on how other states developed standards and a matrix with existing and emerging standards (see Appendix C for research materials used by the subcommittees). During their review of these examples, the subcommittee elected to request further information about the standards development process used in the Kentucky Unified Criminal Justice Information System initiative. At the April meeting, the subcommittee heard a presentation by a member of the USDOJ Practitioner Assistance Team, Paul Embly. Mr. Embly indicated that Kentucky officials looked at documents used within the criminal justice community and determined that one document – the citation form – was common to all agencies involved in the criminal justice process. Accordingly, standards were developed for the data elements on the citation form.

4.4 Products

The Standards Subcommittee agreed that the Kentucky model was a good approach to the development of standards. Accordingly, the subcommittee selected three documents as the basis for standards development: the fingerprint card; the Montana Arrest Number System (MANS) sheet; and the Notice to Appear/Summons and Complaint (NTA). The group also agreed that standards for hardware, data transmission, and data security should be addressed.

To expedite this work, the subcommittee split into the two workgroups: the Data Standards Workgroup and the Network and Security Workgroup.³ A survey was developed to obtain information on the current use of the data elements contained in the three selected documents.

³ Data Standards Workgroup members were Don Crabbe, Leo LaSalle, Terry Wheeling, Jim Cashell, Fred McCracken, Scott Wyckman, Dana Corson, and Kim Randall. Network and Security Workgroup members were Carl Hotvedt, Jim Dolezal, Art Pembroke, John Daugherty, Lynne Pizzini, Dan Chelini, Colleen Llewellyn, Dan Hawkins. In addition, Bruce Coensgen and Tom Woodgerd of the Information Technology Services Division of the Department of Justice also participated during the September meeting.



The survey recipients included representatives from law enforcement, prosecution, courts, and custody/supervision agencies. A copy of the survey is included in Appendix D.

The results of the survey were reviewed by the subcommittee and, in more detail, the Data Standards Workgroup. The following process was used to evaluate these results and to develop standardized elements for data exchange:

- Subcommittee members provided feedback on the survey results and made sure that critical elements were included
- Duplications of data elements were removed and data elements consolidated where appropriate
- A determination was made on whether there is a core group of data elements that are absolutely critical and what data elements should be considered standard for the purpose of data sharing
- The Department of Corrections (DOC) and Supreme Court data dictionaries were compared to the data list to which elements were similar and which were not included in the survey elements. A comparison was also made with the Montana NIBRS and MTDJ Criminal History Records System.

4.4.1 Standardized Data Elements for Data Exchange

Using the process described above, the workgroup created a preliminary list of normalized data called the “Standardized Data Elements for Data Exchange.” The list includes the terminology, definitions, and data types for data elements that are typically exchanged by criminal justice agencies throughout the criminal history cycle. The full subcommittee approved the list at the November 2002 meeting, but it also took two steps to continue the development process. First, the subcommittee members determined that the list should be placed on the MCJISP web site to solicit comments and suggestions. Second, they determined that additional consideration should be given to the comparison of these elements with state data dictionaries (see comparison in Appendix F) as well as with a local records management system (RMS). The local RMS selected for this comparison is the new integrated system being installed in Lewis & Clark County/City of Helena. A workgroup was established for this additional analysis and the results are expected to be used to expand the preliminary list.

The preliminary list as approved in November is included on the following pages



Standardized Data Elements for Data Sharing
Preliminary List
MCJISP Standards Subcommittee — November 21, 2002

Data/Data Group⁴	Sub-elements	Source⁵	Definition	Type	Length⁶
Address	Employer Address	F	Address of employer of individual on record	VARCHAR	
	Last Known Address	M	Last known address, either physical or mailing, of individual on record	VARCHAR	
	Mailing Address	New	Mailing address of the individual on record	VARCHAR	
	ORI Address	F	Address of ORI	VARCHAR	
	Physical Address	F, N	Physical address of individual on record	VARCHAR	
	School Address	New	Address of school attended individual on record	VARCHAR	
Aliases		F, M	Other names used including maiden names	VARCHAR	
BA Test Given		N	Blood/Alcohol test given	CHAR	
BA Test Refused		N	Blood/Alcohol test refused	CHAR	
Caution		F, M	Cautionary information on an offender	VARCHAR	
Charge	Charge Disposition	JTF	Action taken by law enforcement agency and/or a prosecutor with regard to a charge	VARCHAR	
	Charge Name	JTF	Text describing the charge	VARCHAR	
	Charge Statute	JTF	Statute reference for the charge	VARCHAR	
	Charge Sequence Number	JTF	Sequentially assigned number given to the charge for tracking purposes; could be used for the count or counts	VARCHAR	
	Charge Severity Code	CHRS	Severity code for the charge	VARCHAR	
Citizenship		F	Citizenship of individual on record	VARCHAR	

⁴ Data Groups are broken down into sub-elements if there are at least two sub-elements. Items that are not easily grouped under one definition are allowed to stand on their own.

⁵ M: MANS Sheet

F: Fingerprint Card

N: NTA/Complaint

CHRS: MTDOJ Central Repository

JTF: Joint Task Force Standard Rap Sheet/XML Data Dictionary

⁶ Length limitations have not been established yet.



Data/Data Group ⁴	Sub-elements	Source ⁵	Definition	Type	Length ⁶
Court	Court Action Date	New	Date on which the court disposed of a case	DATE	
	Court Disposition	JTF	Judicial action with regard to a charge	VARCHAR	
	Court Name	New	Name of the court of jurisdiction	VARCHAR	
Crash Indicator		N	Indicator that an incident involves a vehicular crash (Yes/No Indicator)	CHAR	
D or N		N	Day or night indicator for an incident	CHAR	
Date	Date of Appearance	N	Date on which an individual is scheduled to appear in court	DATE	
	Date of Arrest	F	Date on which an individual was arrested	DATE	
	Date of Birth	F, M	Date of birth of individual on record	DATE	
	Date of Offense	F, N	Date on which an offense occurred	DATE	
	Dismissed Date	M	Date on which a charge was dismissed	DATE	
Det #		N	Highway Patrol detachment number	VARCHAR	
Docket Number		N	Unique identifier assigned to a case by a court for tracking purposes	VARCHAR	
DOT or ICC #		N	Department of Transportation or Interstate Commerce Commission identification number	VARCHAR	
Driver License	Driver License Number	N	Driver license number of the individual on record	VARCHAR	
	Driver License State	N	State in which a driver license was issued	VARCHAR	
	Driver License Expiration Date	N	Date on which a driver license expires	DATE	
Employee ID #		N	Employee number of officer	VARCHAR	
Employer		F, M, N	Employer (name of business) of individual on record	VARCHAR	
FBI No.		F	Unique identifier assigned by the FBI to an individual based on fingerprints	VARCHAR	
Juvenile Record		F	Indicator that the record belongs to an individual that is considered a juvenile under the law	CHAR	
	Arrest Case Number	JTF	Local identification or reference number for the arrest	VARCHAR	



Data/Data Group ⁴	Sub-elements	Source ⁵	Definition	Type	Length ⁶
Local Identification Number ⁷	Arrest Case Number	JTF	Local identification or reference number for the arrest	VARCHAR	
	Offense Case Number	M (HEW)	Offense case number for the offense	VARCHAR	
	Prosecutor Case Number	JTF	Local identification or reference number for the prosecution case	VARCHAR	
Location Code		N	Numeric identifier for location of offense	VARCHAR	
Location of Offense		N	Location where offense occurred	VARCHAR	
MANS Number		M	Unique identifier assigned to an arrest event and used to link subsequent events in the criminal history cycle	VARCHAR	
Name	Name of Offender	M, N	Name of the individual of record	VARCHAR	
	Name of Official Taking Prints	F	Name of the official taking the fingerprints on the record	VARCHAR	
	Name of Person Fingerprinted	F	Name of person being fingerprinted (typically used for applicants)	VARCHAR	
Occupation		F	Occupation of individual of record	VARCHAR	
ORI		M, N	Originating agency code assigned to a criminal justice agency	NUMBER	
Other Images Available	Photo	F	Indicator that a photograph of the offender is available	CHAR	
	Palm Prints	F	Indicator that palm prints of the offender are available	CHAR	
Personal Identification Numbers	Alien Registration Number	M	Unique identifier assigned by the INS to an alien	VARCHAR	
	Armed Forces Number	F	Unique identifier assigned to an individual in the Armed Forces	VARCHAR	
	Social Security Number	F, M	Social Security Number of the individual of record	VARCHAR	
	Sex	F	Gender of a person	VARCHAR	
	Race	F	Race of a person	VARCHAR	
	Height	F	Height of a person	VARCHAR	
	Weight	F	Weight of a person	VARCHAR	
	Eye Color	F	Eye color of a person	VARCHAR	
	Hair Color	F	Hair color of a person	VARCHAR	

⁷ The original source for this data group is the Local Identification Number field on the Fingerprint card. The Court Document Number could be included here but it is typically not on the fingerprint card. Arrest Case Numbers, which can be different from OCA depending on the type of local RMS used, and Prosecutor Case Numbers are unique numbers that may be used in local RMS.



Data/Data Group ⁴	Sub-elements	Source ⁵	Definition	Type	Length ⁶
	Skin Tone	F	Skin tone of a person	VARCHAR	
	Scars Marks Tattoos	F	Description of an individual's scars, marks and /or tattoos	VARCHAR	
Place of Birth		F, M	Place of birth of the individual on record	VARCHAR	
Radar #		N	Assigned number to radar equipment	VARCHAR	
Reason Fingerprinted		F	Reason for fingerprinting (for applicant card)	VARCHAR	
Reservation Number		N	Assigned code for Montana tribal reservations	VARCHAR	
Search Indicators	Search Consent Given	N	Indicator that consent was given for a search	CHAR	
	Search Consent Denied	N	Indicator that consent was denied for a search	CHAR	
	Search Warrant Issued	N	Indicator that a warrant was issued	CHAR	
State Identification No./SID		F, M	Unique identifier assigned to an individual by a state identification bureau	VARCHAR	
Telephone	Home Phone	N	Home telephone number of the individual of record	VARCHAR	
	Employer Phone	N	Employer telephone number of the individual of record	VARCHAR	
Total Appearance Bond Received		N	Amount of bond received from the individual of record	VARCHAR	
Traffic Stop Information		N	Free text description of the primary reason for a traffic stop	VARCHAR	
Uniform Violation Code		N	Code for the violation ⁸	VARCHAR	
Vehicle License	Vehicle License Number	N	License number of vehicle	VARCHAR	
	Vehicle License State	N	State in which a vehicle is registered	VARCHAR	
Vehicle Type	Vehicle Make (including aircraft)	N	Vehicle make information	VARCHAR	
	Vehicle Color	N	Color of vehicle	VARCHAR	
	Vehicle Year	N	Year vehicle was manufactured	VARCHAR	
	Vehicle Model	N	Vehicle model information	VARCHAR	

⁸ The JTF/XML Data Dictionary has an Offense Code but does not include it in the Charge data group; consequently this element was left to stand by itself.



4.4.2 Network and Security Standards

The Network and Security Workgroup began to review federal security/hardware/software standards for compatibility with the state's information technology standards. This work was completed in time for the Subcommittee's meeting in November 2002. The specific standards reviewed are listed below:

- State of Montana Enterprise IT Standards:
<http://www.state.mt.us/itsd/policy/enterprise.asp>
- Enterprise Software Standards:
<http://www.state.mt.us/itsd/policy/software.asp>
- CJIS Security Policy Version 3.0, February 2002 (FBI, US Department of Justice)

The workgroup's review indicated that the state was in compliance with most of the FBI's CJIS Security Policies but that additional work would be needed to bring the state into compliance in four areas:

- Authentication mechanisms
- Encryption (note: MTDOJ will have all remaining data encrypted by December 2003)
- Digital signatures for data going over the Internet
- Audit procedures and the new external entity audit requirement

The subcommittee discussed the potential costs of bringing the state into compliance, particularly in the area of Internet access. It was noted that costs could be offset by savings resulting from the elimination of dedicated circuits. The subcommittee decided to develop additional information on costs so that additional recommendations could be developed; that effort was ongoing as this report was published.

4.5 Recommendations

During the November meeting, the subcommittee finalized its recommendations for the establishment of state standards for the exchange and transmission of critical criminal justice data. These recommendations are:

Preliminary List of Standardized Data Elements for Data Exchange: The Subcommittee recommended that the Preliminary List of Standardized Data Elements for Data Exchange be published on the web to solicit comments, suggested changes, and additions from interested parties.

Uniform Notice to Appear/Summons and Complaint: The subcommittee recommended that a uniform, standardized Notice to Appear/Summons



and Complaint form be developed for statewide use. The subcommittee recommended that the standard NTA form should be mandated either by administrative order or legislative action. This recommendation will be taken to the Advisory Group. The Subcommittee also requested additional research on the extent of differences among the NTA forms used in the state so that this information will be available for the Advisory Group recommendation.

Network and Security Standards: The subcommittee did not recommend that any changes be made to the to the current State Network and Security IT requirements and the new Network Enterprise Policies, which are required for any agency that wants to participate in SummitNet. The subcommittee did recommend that the state adopt the FBI CJIS standards, and that agencies at both the state and local level should be required to move to these state and federal standards.

Policy Statement on Standards: The Subcommittee recommended that the following policy statement be forwarded to the Advisory Group for consideration:

“It is anticipated that the current growth in automating and streamlining the exchange of criminal justice information will continue and even accelerate as agencies realize cost benefits and business process improvements through the electronic exchange of criminal justice information.

The standardized data elements contained within the Montana Department of Justice data dictionary provide a template from which state and local agencies can draw upon when revising or specifying database management applications. While agencies will always have agency-specific data requirements, the goal of fostering the exchange of criminal justice information can be facilitated by utilizing a set of standardized data elements. Standardized data elements provide a common usage and common definition for those elements that are universal to criminal justice information systems. Standardized data elements, when used in conjunction with systems and architectures in widespread use throughout the criminal justice network, can greatly increase the ease with which future integration projects can be implemented. Agencies are encouraged when procuring or developing new database management applications to seek hardware and software solutions which provide a high degree of compatibility with current and emerging technologies.”



4.6 Next Steps

The next steps recommended by the Standards Subcommittee were:

1. Comments and suggestions received after the Preliminary Standardized Data Elements for Data Exchange list is published on the web should be reviewed by the subcommittee.
2. The workgroup analyzing other state and local data dictionaries will make recommendations to the full subcommittee regarding the expansion of the preliminary data elements list.
3. The Advisory Group should review the subcommittee's recommendation for a universal NTA form and the standards policy statement.
4. Additional information on costs shall be brought to back to the subcommittee for discussion and consideration of possible recommendations.



5 APPENDICES

Appendix A – Best Practices Subcommittee Meeting Minutes

Appendix B – Standards Subcommittee Meeting Minutes

Appendix C – Subcommittee Research Documents

Appendix C includes:

- Bibliography of Background Materials
- Handout on Other States' Standards Development
- NY Standard Practices Summary
- Glossary
- Sample Standards Summary Matrix

Appendix D - Data Elements Survey Form

Appendix E - Advisory Group Membership

Appendix F - Comparison of Common Data Elements with State Repositories